

# IOWA DEPARTMENT OF ADMINISTRATIVE SERVICES ▼

## HUMAN RESOURCES ENTERPRISE

### COMPLIANCE OFFICER 2

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#### DEFINITION

Performs journey level professional work to ensure/support compliance with department enforced state and federal laws, rules, guidelines and program requirements; performs related work as required.

**The Work Examples and Competencies listed are for illustrative purposes only and not intended to be the primary basis for position classification decisions.**

#### WORK EXAMPLES

Confers and corresponds with attorneys and other concerned parties to acquire information on matters involving department actions or sanctions; advises department staff on the legality of procedures; recommends action to ensure compliance with state and federal laws, rules, guidelines and program requirements based upon review and analysis of relevant facts, data, policies and information.

Prepares legal documents, litigation packages, formal citations, audit recommendations, position papers and other material for use in administrative proceedings or enforcement actions; represents the department at administrative proceedings as required; prepares proposals for amendments to statutory provisions, rules, guidelines or procedures to provide more effective compliance and enforcement activities as well as improved department operations.

Maintains liaison with the Iowa Attorney General's staff, program administrators or directors, and concerned parties to obtain or convey information on cases, investigative audits or management studies referred for compliance or enforcement action.

Develops and administers a quality assurance program through the establishment of policies, procedures, and corrective action plans which monitor compliance with federal, state, and/or private licensure, certification rules and laws.

Provides guidance to entry-level officers.

#### COMPETENCIES REQUIRED

Knowledge of administrative and common law, or financial/program management as it pertains to the compliance program to which assigned.

Knowledge of investigative or auditing techniques as they apply to the program to which assigned.

Knowledge of specific laws, court decisions, federal and state administrative procedures and program guidelines, as well as established precedents applicable to the employing department's programs.

Knowledge of appeal rights and remedies as set forth in pertinent laws and administrative rules of the employing department.

Ability to analyze facts and make sound decisions based on evidence presented and applicable laws, rules, and precedents.

Ability to deal tactfully with public officials, business people, attorneys, and the public.

Ability to communicate effectively, orally, and in writing technical matters.

Ability to provide advice and recommendations to agency staff.

Displays high standards of ethical conduct. Refrains from dishonest behavior.

Works and communicates with all clients and customers providing quality professional service.

Displays a high level of initiative, effort, attention to detail and commitment by completing assignments efficiently with minimal supervision.

Follows policy and cooperates with supervisors.

Fosters and facilitates cooperation, pride, trust, and group identity and team spirit throughout the organization.

Exchanges information with individuals or groups effectively by listening and responding appropriately.

### **EDUCATION, EXPERIENCE, AND SPECIAL REQUIREMENTS**

Graduation from an accredited four-year college or university and experience equal to five years of full-time responsible investigative or closely related work which involved: preparing interpretative or administrative orders, rules, or regulations which have the effect of law; or interpreting and enforcing federal or state laws governing health care administration; or quality assurance review to determine, through internal audit or analysis, the level of compliance with program requirements; or drafting, negotiating, or examining contracts or related documents required for organizational operations;

OR

graduation from an accredited school of nursing and experience equal to five years of full-time work involving the interpretation and enforcement of federal and state laws governing health care administration or quality assurance review as determined through internal audit or analysis of the level of compliance to program requirements;

OR

graduation from an accredited school of law and experience equal to two years of full-time work in the practice of law or in performing the above qualifying work;

OR

any equivalent combination of qualifying education and experience totaling nine years on the basis that 30 semester hours of college or university course work is equal to one year of experience;

OR

employees with current continuous experience in the state executive branch that includes experience equal to 18 months of full-time work as a Compliance Officer 1.

### **SELECTIVE CERTIFICATION**

For designated positions, the appointing authority, with Iowa Department of Administrative Services – Human Resources Enterprise prior approval, may request those applicants possessing a minimum of twelve semester hours of education or six months of experience, or a combination of both or a specific certificate, license or endorsement in the following areas:

007	agricultural engineering	281	hydrology
070	CPA or CIA certification	294	housing compliance experience
097	civil engineering	354	law degree
100	investments	407	psychology (Master's degree in psychology and one year of professional psychology experience)
141	dependent adult abuse	415	mortgage lending experience
171	earth science	533	property and casualty insurance
209	Student Loan/Financial Aid Administration	602	real estate
210	finance	762	water resources
211	income maintenance	872	registered nurse
242	geology	899	registered dietitian
280	human/social services		

Applicants wishing to be considered for such designated positions must list applicable coursework, experience, certificate, license or endorsement on the application.

Effective Date 01/15 KF